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Examiner Charles R. Kyle Art Unit: 3624	U.S. Patent and Trademark Office	703-305-7687	703-305- 4458

TOTAL NO. OF PAGES 24

FROM Ian G. DiBernardo

SENDER'S FAX NUMBER 212-806-6006

SENDER'S PHONE NO. 212-806-5867

SENDER'S EMAIL IDIBERNARDO@stroock.com

ROOM NO. 38L

ATTORNEY NO. 3350

CLIENT/MATTER NAME

CLIENT/MATTER NO. 363779/0002

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APPLICANT: SETH I. MERRIN ET AL.

APPLICATION NO.: 09/834,171

FILED: APRIL 12, 2001

TITLE: ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTERGRATION WITH ORDER MANAGEMENT SYSTEMS

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Docket No.  
363779/0002  
IGD

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Seth I. Merrin et al.

Group Art Unit: 3624

Application No.: 09/834,171

Examiner: Kyle, Charles R.

Filed: April 12, 2001

For: **ELECTRONIC SECURITIES MARKETPLACE HAVING  
INTERGRATION WITH ORDER MANAGEMENT SYSTEMS**

Date: October 22, 2003

**CERTIFICATE OF TRANSMISSION**  
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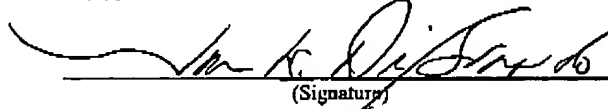
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**Ian G. DiBernardo**

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PTO/SB/17 (10-03)

# FEE TRANSMITTAL for FY 2004

Effective 10/01/2003. Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 52.00)

## Complete if Known

Application Number 09/834,171  
Filing Date April 12, 2001  
First Named Inventor Seth I. Merrin et al.  
Examiner Name Kyle, Charles R.  
Art Unit 3624  
Attorney Docket No. 363779/0002

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit  
Account  
Number  
Deposit  
Account  
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19-4709

Stroock & Stroock & Lavan LLP

The Director is authorized to: (check all that apply)

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☒ Charge any additional fee(s) or any underpayment of fee(s)

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 770	2001 385	Utility filing fee	
1002 340	2002 170	Design filing fee	
1003 530	2003 265	Plant filing fee	
1004 770	2004 385	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$ 0.00)

### 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
20** = 1	X 9	= 9	
Independent Claims	3** = 1	X 43	= 43
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 86	2201 43	Independent claims in excess of 3
1203 290	2203 145	Multiple dependent claim, if not paid
1204 86	2204 43	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 52.00)

\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	2053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for <i>ex parte</i> reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 420	2252 210	Extension for reply within second month	
1253 950	2253 475	Extension for reply within third month	
1254 1,480	2254 740	Extension for reply within fourth month	
1255 2,010	2255 1,005	Extension for reply within fifth month	
1401 330	2401 165	Notice of Appeal	
1402 330	2402 165	Filing a brief in support of an appeal	
1403 290	2403 145	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,330	2453 665	Petition to revive - unintentional	
1501 1,330	2501 665	Utility issue fee (or reissue)	
1502 480	2502 240	Design issue fee	
1503 840	2503 320	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 160	1806 160	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 770	2809 385	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 770	2810 385	For each additional invention to be examined (37 CFR 1.129(b))	
1801 770	2801 385	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

## SUBMITTED BY

Name (Print/Type) Ian G. DiBernardo

Signature

Registration No.  
(Attorney/Agent)

40,992

(Complete if applicable)

Telephone (212) 806-5400

Date

10/20/2003

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